



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED  
MAY 12 2003  
TECH CENTER 1600/2900

Application of:	Needleman et al.
Serial No.:	09/386,591
Filed:	August 31, 1999
Entitled:	AN IMMUNOLOGICAL PROCESS AND CONSTRUCTS FOR INCREASING THE HDL CHOLESTEROL CONCENTRATION BY DNA VACCINATION

Examiner: J.L. Andres

Art Unit: 1646

Attorney Docket No.: AVA-432.1 US-1

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §§ 1.56, 1.97 AND 1.98**

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56, Applicants submit this Information Disclosure Statement pursuant to 37 CFR §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited document is also enclosed, as well as, for the Examiner's convenience, a copy of the document in the list. This paper is being filed pursuant to 37 CFR § 1.97(c) along with the fee set forth in 37 CFR§ 1.17(p), to secure consideration in the USPTO of documents cited by the European Patent Office in a corresponding foreign application.

**US Patent Document**

US 6,555,113 issued April 29, 2003, Rittershaus et al.

Applicants do not intend to represent that the document submitted herein is material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicants respectfully request that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,

David G. O'Brien, Reg. No. 46,125  
Leon R. Yankwich, Reg. No. 30,237  
Attorney for Applicants  
YANKWICH & ASSOCIATES  
201 Broadway  
Cambridge, Massachusetts 02139  
telephone: (617) 374-3700  
telefax: (617) 374-0055

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

Express Mail Label No. : EV 190444714 US

May 7, 2003  
Date

Melanie A. McFadden  
Melanie A. McFadden

Modified FORM PTO-1449		ATTY. DOCKET NO. AVA-432.1 US-1	SERIAL NO. 09/386,591
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT Needleman et al.	
(Use several sheets if necessary)		FILING DATE August 31, 1999	GROUP 1646

# REFERENCE DESIGNATION

# U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	US 6,555,113	04/29/03	Rittershaus et al.			

# FOREIGN PATENT DOCUMENTS

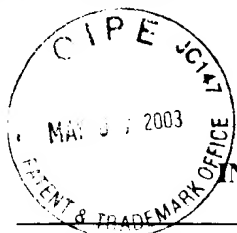
DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION YES NO

# OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

sheet 1 of 1



05-08-02

#2  
60  
5/19/03

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Needleman et al.

Serial No.: 09/386,591

Filed: August 31, 1999

Entitled: AN IMMUNOLOGICAL PROCESS AND  
CONSTRUCTS FOR INCREASING THE HDL  
CHOLESTEROL CONCENTRATION BY DNA  
VACCINATION

Examiner: J.L. Andres

Art Unit: 1646

RECEIVED

MAY 12 2003

Attorney Docket No.: AVA-432.1 US-1

TECH CENTER 1600/2900

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450TRANSMITTAL LETTER

Sir:

Transmitted herewith are: [X] a Supplemental Information Disclosure Statement (IDS) under 37 CFR §§ 1.56, 1.97 and 1.98; [X] Form PTO-1449 Information Disclosure Statement; [X] photocopies of the disclosed documents, to be filed in the above-identified patent application; and [X] a return receipt post card.

PAYMENT OF FEES

- [ ] A check in the amount of \$\_\_\_\_\_ (check no. \_\_\_\_\_) in payment of the fee for submission of an information disclosure statement transmitted herewith.
- [X] The Commissioner is hereby authorized to charge payment of any additional fees required under 37 CFR §§ 1.16 or 1.17 in connection with the paper(s) transmitted herewith, or to credit any overpayment of same, to Deposit Account No. 50-0268. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,

David G. O'Brien, Reg. No. 46,125  
Leon R. Yankwich, Reg. No. 30,237  
Applicants' Representatives  
YANKWICH & ASSOCIATES  
201 Broadway  
Cambridge, Massachusetts 02139  
telephone: (617) 374-3700  
telefax: (617) 374-0055

31 FC:1086

199.00 CH

05/13/2003 D:\PCOM\06 00000001 500268 09386591

**CERTIFICATE OF MAILING**

The undersigned hereby certifies that this correspondence is being deposited with the U.S. Postal Service as Express mail, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

Express Mail Label No.: EV 190444714 US

May 7, 2003  
Date

Melanie A. McFadden  
Melanie A. McFadden